

Questions for organisational assessment

This is a translation into English of the questions in SMC's organisational assessment tool.

1. Capacity to be

| Area | Satisfactory level |
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| 1.1 To what extent the organisation has a clear identity, vision and core values based on human rights. | The organisation has a vision, core values, goals and a strategy for its work. The governing documents can be related to human rights. The governing documents are broadly known among the staff. The organisation reflects on how identity and values relate to their work. |
| 1.2 To what extent the organisation has a democratic structure and good internal democracy | The organisation has a legally valid charter and has a legal registration (as an association or foundation). The organisation has an organisational description and delegation policy. The organisation has a functioning board that operates in accordance with the organisation's statutes (how it is elected, meets, documentation of meetings, type of issues it handles). The division of responsibilities between the board and the organisation's operational management is defined. The organisation provides space for members/target groups/stakeholders to put forward their opinions and takes them into account. The organisation strives for a transparent approach. The organisation takes into account annual audits and system reviews that highlight shortcomings in terms of democratic principles. |
| 1.3 To what extent does the organisation have a democratic way of working, equal and equal internal structures | The organisation has a personnel policy or similar governing document that takes a stand against discrimination of people on the basis of gender; ethnicity; religion or belief; disability; sexual orientation; age; gender identity or expression. Based on its operations, the organisation has sufficient resources for HR, personnel care and skills development. Opportunities are provided for staff to give their views on decisions that affect them, and staff are informed about their rights and obligations within the organisation. |
| 1.4 To what extent does the organisation enjoy public support, representative and legitimate in relation to its activities and target group | The organisation can demonstrate some form of public support. The organisation has processes to get feedback from its members/target group/stakeholders and creates space for these to be represented in the activities. The organisation has documented experience and competence in its field of activity. |

2. Capacity to organise

| Area | Satisfactory level |
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| <p>2.1 a) To what extent does the organisation have internal systems for financial management and administration that meet legal and grant requirements. - The organisation's financial position</p> | <p>The organisation submits its annual report on time (in accordance with the agreement, but no later than 6 months after the books are closed). The organisation has a stable economy, with a buffer, with a low debt ratio and good liquidity. The audits are clean (without remarks), and the board is discharged from liability. The organisation raises funds for its own contribution in accordance with Sida's guidelines. The organisation manages to raise sufficient funds to finance its own contribution.</p> |
| <p>2.1 b) To what extent does the organisation have internal systems for financial management and administration that meet legal and grant requirements. - Financial management and financial governance</p> | <p>The organisation has a decision-making system where division of roles is ensured. There is a clear division of responsibility for how transactions are registered and reconciled within the organisation. There are powers of attorney, always for two people in association. The organisation has written guidelines regarding travel advances, other types of advances, petty cash, inventory, allowance levels, procedures for credit cards and payments, etc. and these are followed. The organisation has written guidelines regarding how currency exchange is handled, and they follow good accounting practice. There are written rules on how interest is handled, and they are in line with SMC's guidelines. The organisation has a functioning system for financial management and the system is suitable for the size of the organisation. There is one bank account per operation or per contribution in line with the agreement. In the accounting system, it is possible to manage project accounting, to produce performance reports per project level. The accounting is updated. Financial statements are produced regularly, and they are well documented. The organisation has written procedures for following up the budget at various levels. There is a procurement policy, it is in line with the agreement between SMC and the MO, and it is followed. Recommendations from the last systems audit have been followed up.</p> |
| <p>2.1 c) To what extent does the organisation have internal systems for financial management and administration that meet legal and grant requirements. -</p> | <p>The annual report is audited once or twice yearly. Project audits are carried out in accordance with the organisation's agreements, and delivered on time. All external auditors are independent. Audits are carried out on both finance and operations, annual report, and management audit, as well as at the intervention level. The auditor is changed after 7 years.</p> |
| <p>2.1 d) To what extent does the organisation have internal systems for financial management and administration that meet legal and grant</p> | <p>The organisation has an anti-corruption policy and action plan, and these are followed. There are clear areas of responsibility for anti-corruption work. The personnel who work against corruption have capacity and experience in that type of work. There is a complaints response mechanism, which is used and is effective. Non-conformance cases are well documented.</p> |

| Area | Satisfactory level |
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| requirements. - Work against corruption | |
| 2.2 a) The extent to which the organisation has functioning systems and routines for working with contributions, including governance and control based on policies and aid effectiveness - Systems and routines for assessing collaboration partners | The organisation has documented procedures (templates, etc.) for organisational assessments. The organisational assessments cover the minimum requirements set for cooperation partners according to the agreement with SMC regarding grant funding. The documented procedures for organisational assessments are regularly used by the organisation. |
| 2.2 b) The extent to which the organisation has functioning systems and routines for working with contributions, including governance and control based on policies and aid effectiveness - Systems and routines for quality assurance of interventions | The organisation has documented routines (templates, etc.) for quality assurance of interventions throughout the project cycle: planning, monitoring, reporting and evaluation. The routines ensure that the interventions meet the minimum requirements set for an intervention, according to SMC's guidelines for the grant in question (see special separate list), as well as from the organisation's own governing documents. The organisation can demonstrate that the routines are followed throughout the project cycle - planning, monitoring, reporting and evaluation. |
| 2.2 c) The extent to which the organisation has functioning systems and routines for working with contributions, including governance and control based on policies and aid effectiveness - System and routines for application and reporting to SMC | The applications are received by SMC in accordance with the agreed schedule. The applications are complete and include the areas specified in SMC's guidelines for each grant. The organisation has systems and routines to capture, compile, analyse and report results and lessons learned from interventions. The reports are received by SMC in accordance with agreement. The reports are complete and include the areas specified in SMC's guidelines for each grant. |
| 2.2 d) The extent to which the organisation has functioning systems and routines for working with contributions, including governance and control based on policies and aid effectiveness - Systems and procedures for quality assurance in terms of aid effectiveness, including | The organisation has documented routines (templates etc.) to ensure that the interventions are aid efficient, locally owned and coordinated with relevant actors. The organisation can demonstrate compliance with these routines. |

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| local ownership, adaptation and coordination | |
| 2.2 e) The extent to which the organisation has functioning systems and routines for working with contributions, including governance and control based on policies and aid effectiveness - Agreements and financing | The organisation has documented procedures (templates etc.) to ensure that there is an agreement between the member organisation and cooperation partner before transfer of funds. The organisation's routines and agreements follow the requirements that SMC requires the member organisation to follow in accordance with agreements and guidelines for the grant in question. The organisation can demonstrate compliance with these procedures. |
| 2.3 To what extent does the organisation have internal systems for continuous learning and development of its work. | The organisation has a conscious and explicit approach (understanding and willingness) to monitoring and learning within the organisation. The organisation has routines for regularly evaluating and learning from its work. |
| 2.4 To what extent does the organisation have functioning mechanisms for accountability and complaints and response. | The organisation has formulated a code of conduct, which the staff are aware of and sign upon employment. The organisation has channels and preparedness to receive complaints and routines to handle them. The organisation engages in dialogue with partners regarding accountability (within the framework of the organisation's own formal undertakings) and complaint handling. |

3. Capacity to relate

| Area | Satisfactory level |
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| 3.1 To what extent the organisation interacts and cooperates with other organisations and actors. | Based on its capacity, the organisation is part of networks that are relevant to the work. |
| 3.2 To what extent the organisation's relations with partners are characterised by reciprocity. | The organisation has a continuing dialogue with its partner(s). The organisation requests the partner's opinions about the cooperation and suggestions for improvements. The organisation shares with the partner information that is relevant to them based on their cooperation. |
| 3.3 To what extent the organisation is in dialogue with duty bearers and holds them accountable. | The organisation is aware of the importance of holding duty bearers accountable, and has reflected on its own role as a civil society organisation. |

4. Capacity to do

| Area | Satisfactory level |
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| 4.1 To what extent does the organisation have capacity and competence regarding development issues. | The organisation has basic knowledge of Agenda 2030 and the human rights. The organisation has basic knowledge of development and sustainability issues that are relevant based on the organisation's identity and operations. The organisation works in accordance with the UN's framework for human rights, international humanitarian right and decisions by the UN Security Council. |
| 4.2 The extent to which the organisation has systems in place for context and risk analysis that inform their planning and monitoring processes. | The organisation conducts regular context analyses, which inform their work. The organisation conducts regular risk analyses on an operational level, which relate to the context analysis and are followed up. |
| 4.3 To what extent does the organisation have the capacity to work with and manage their activities based on the principles of a human rights-based approach . | The organisation has governing documents/systems that helps them to base their work on human rights. The organisation and its staff demonstrate a basic competence to base their work on the principles of a human rights-based approach (contribution management, communication, etc.) The organisation engages in dialogue with its partners about a human rights-based approach. |
| 4.4 To what extent does the organisation have the capacity to work with and manage operations based on an integrated environmental and climate perspective. | The organisation has some type of governing document (policy, templates, system) that guides the work of integrating an environmental and climate perspective into the operations. The organisation and its staff demonstrate a basic competence to integrate an environmental and climate perspective in their operations. The organisation conducts dialogue with partners from an environmental and climate perspective. |
| 4.5 To what extent does the organisation have the capacity to work with and manage operations based on an integrated gender equality perspective | The organisation has some type of governing document (policy, templates, system) that guides the work of integrating a gender perspective into their work. The organisation and its staff demonstrate a basic competence to integrate a gender equality perspective in the operations. The organisation conducts dialogue with partners about gender equality. |
| 4.6 To what extent does the organisation have the capacity to work with and manage operations based on conflict sensitivity | The organisation has some type of governing document (policy, templates, system) that guides their work on conflict sensitivity. The organisation and its staff demonstrate a basic competence to integrate conflict sensitivity into their work. The organisation conducts dialogue with partners on conflict sensitivity. |
| 4.7 a) To what extent is the organisation competent to work with and apply | The organisation has a basic understanding of what religious literacy is on more levels than the general one, and integrates this understanding into its activities, e.g. in intervention analyses, program/project development or partner dialogues. |

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| religious literacy in operations | |
| 4.7 b) To what extent is the organisation competent to work with and apply freedom of religion or belief in operations? | The organisation has a basic understanding of what freedom of religion or belief is and how violations of it affect individual rights bearers (regardless of religion or belief) and an understanding of the democratic space of intervention contexts. The organisation integrates this understanding at a fundamental level in its operations, e.g. in contribution analyses, program/project development or partner dialogues. |